# DSP BLACKROCK MUTUAL FUND

Please refer Page 2 for Definitions / Instructions / Guidance

Date:

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## FATCA, CRS AND ADDITIONAL KYC Details and Declaration form

Mandatory for Non-Individual Investors, including HUF

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal]

INVESTOR DETAILS			,,,,,,,,,		
Entity Name:					
PAN			Ар	plicati	on No.
Folio Nos					
Type of Address given at KRA	Reside	ntial or Business	Residential	Bu	siness Registered Office
		ADDITIONAL K	YC DETAILS (Mandato	ry)	
Gross Annual Income (Please	tick √) O	Below 1 Lac 0 1-5 L	acs O 5-10 Lacs O	10-25	Lacs O >25 Lacs-1 crore O >1 crore
Net-worth in ₹	····	as on DD/	M M / Y Y Y Y		older than 1 year)
	INCOR	PORATION and TAX F	RESIDENCY DETAILS (A	Manda	atory)
City of Incorporation:		Country of Incorporati	on: Da	ate of	Incorporation:
Is Entity a tax resident of any of than India?	ŕ		for	r tax p	aseprovidecountry/iesinwhichtheentityisaresident urposes and the associated Tax ID number below)
In case TIN or its functional equivale	nt is not availal	ole, please provide Company	Identification number of Glob	oal Entit	ry Identification Number or GIIN, etc.
Country of Tax Residen	су		TIN or equivalent nun	nber	Identification Type/Reason*
1.					
3.					
4.					
In case the Entity's Country of I Person (as per definition E5), pl	ncorporation a	Tax residence is U.S. buthe exemption code in the	ut Entity is not a Specified ne box:	U.S.	(refer definition D4)
(40 por 30 mm 20), por		<u> </u>	<b>DETAILS</b> (Mandatory)	)	
	-	our professional tax adviso	r for further guidance on FAT		RS classification)
PART I (to be filled by Fir	nancial Inst	itutions or Direct R	eporting NFEs)		
We are a, (please tick as appro Financial Institution (Refer definition A)		GIIN			
or  Direct reporting NFE		Note: If you do not have a C GIIN above and indicate you		y anoth	ner entity, please provide your sponsor's
(Refer definition B)	1	lame of sponsoring enti	ty:		
GIIN - Not Available	Appli	ed for			
If the entity is a financial institut	on, Not re	equired to apply for - pl	ease specify 2 digits sub-	catego	ory (refer definition C)
	☐ Not o	btained - Non-participa	ting FI		
PART II (please fill Any O	ne as annro	onriate to be filled	by NEEs other than [	Direct	Reporting NFFs)
Is the Entity a publicly traded	3				
(that is, a company whose shares of traded on an established securities	re regularly	ies 🔝 (if yes, please spe	cify any one stock exchange	on whi	ch the stock is regularly traded)
(Refer definition D1)	I IIIII Ket)	Name of stock exchange			
Is the Entity a related entity of publicly traded company?		res [] (If yes, please specify	name of the listed company and	d one sto	ock exchange on which the stock is regularly traded)
(a company whose shares are regu traded on an established securitie (Refer definition D2)	s market)		Subsidiary of the Listed Comp		OR □ Controlled by a Listed Company
		Name of stock exchange	1		
Is the Entity an Active NFE?			Also provide UBO Form □		
(Refer definition D3)		Nature of Business	also provide obo romi =		
		Please specify the sub-c	ategory of Active NFE		(Mention code - refer D3)
laska Fasir D. J. MEES	,	∕es □ • ·	Also provide UBO Form □		
Is the Entity a Passive NFE? (Refer definition E2)		Nature of Business			
I/We acknowledge and confirm that the informat best of my/our knowledge and belief and provided I/ We have understood the information requireme requirements, terms and conditions (read along w hereby confirm that the information provided by m	ion provided above after necessary consints of the application ith instructions and selves on this form are	s/are true and correct to the ultation with tax professionals. form, including FATCA and CRS cheme related documents) and true, correct, and complete.			
Place:	Date :				

- A. Financial Institution (FI)- The term FI means any financial institution that is a:
- 1 Depository institution: Accepts deposits in the ordinary course of banking or similar business.
- 2 Custodial institution: An entity that as a substantial portion of its business, holds financial assets for the account of others and where the entity's gross income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
  - (a) The three-year period ending on December 31 of the year preceding the year in which the determination is made:
  - (b) The period during which the entity has been in existence before the determination is made)
- 3 Investment entity: Conducts a business or operates for or on behalf of a customer for any of the following activities: (a) Trading in money market instruments, foreign exchange, foreign currency,etc. (b) Individual or collective portfolio management. (c) Investing, administering or managing funds, money or financial asset on behalf of other persons. [OR] The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described herein. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income attributable to the relevant period during which the entity has been in existence.
- 4 Specified Insurance company: Entity issuing insurance products i.e. life insurance or cash value products.
- 5 Holding company or treasury company: Is an entity that is a holding company or treasury centre that is a part of an expanded affiliate group that includes a depository, custodial institution, specified insurance company or investment entity
- B. Direct Reporting NFE: means a Non-financial Entity (NFE) that elects to report information about its direct or indirect substantial U.S. owners to the IRS
- C. GIIN not required: Categories with codes

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FI

- D. Non-Financial Entity (NFE): Entity that is not a financial institution (including a territory NFE). Types of NFEs excluded from FATCA reporting are as below:
  - Publicly traded corporation (listed company): A company is publicly traded if its stock are regularly traded on one or more established securities markets.
  - Related entity of a listed company: The NFE is a related entity of an entity of which is regularly traded on an established securities market;
  - 3. Active NFE: (is any one of the following)

Code	Sub-Category
01	Less than 50 percent of the NFE's gross income for the preceding financial year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in

a business other than that of a Financial Institution;

- Any NFE is a 'non for profit' organization which meets all of the following requirements
  - It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
  - · It is exempt from income tax in India;
  - It has no shareholders or members who have a proprietary or beneficial interest in its income
    or assets:

The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof

Code	Sub-Category
Α	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
В	The United States or any of its agencies or instrumentalities
С	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
Н	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
М	A tax exempt trust under a section 403(b) plan or section 457(g) plan
14	Owner Documented FI

### E. Other definitions

- 1 Related entity: An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity.
- 2 Passive NFE: The term passive NFE means any NFE that is not (i) an Active NFE (including publicly traded entities or their related entities), or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)
- 3 Passive income: The term passive income means the portion of gross income that consists of: (a) Dividends, including substitute dividend amounts; (b) Interest; (c) Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool; (d) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE; (e) Annuities; (f) The excess of gains over losses from the sale or exchange of property that gives rise to passive income described in this section.; (g) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any commodities, but not including; (i) Any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation; or (ii) Active business gains or losses from the sale of commodities, but only if substantially all the foreign entity's commodities are property (h) The excess of foreign currency gains over foreign currency losses; (i) Net income from notional principal contracts; (j) Amounts received under cash value insurance contracts; (k) Amounts earned by an insurance company in connection with its reserves for insurance and annuity contracts
- 4 Controlling persons: Controlling persons are natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force recommendations.
- 5 Specified US Persons Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliate group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank, viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker
- 6 Expanded affiliated group: Expanded affiliated group is defined to mean one or more chains of members connected through ownership (50% or more, by vote or value, as the case may be) by a common parent entity if the common parent entity directly owns stock or other equity interests meeting the requirements in at least one of the other members.
- 7 Owner documented FI: FI An meeting the following (i) The FI is an FI solely because it is an investment entity; (ii) The FI is not owned by or related to any FI that is a depository institution, custodial institution, or specified insurance company; (iii) The FI does not maintain a financial account for any nonparticipating FI; (iv) The FI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and (v) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FI, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FI that holds its interest through a participating FI, a deemed-compliant FI (other than an owner-documented FI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

# DSP BLACKROCK MUTUAL FUND

# Ultimate Beneficial Ownership (UBO) Declaration form

(Mandatory for Non-Individual Applicants/Investors, including HUF)

This declaration is NOT needed for Companies that are Listed on any recognized stock exchange in India or is a Subsidiary of such Listed Company or is Controlled by such Listed Company A: ABBI ICANT/INVESTOR DETAIL S:

iduals	B: CATEGORY [tick applicable category]:  Unlisted Company    Partnership Firm    LLP    Unincorporated association / body of indiv  C: DETAILS OF ULTIMATE BENEFICIAL OWNIERS (If the given space below is Please list below each controlling person, confirming ALL countries of tax residency / permanent adformat can be enclosed as additional sheet(s) duly signed by Authorized Signatories.  Name of UBO
viduals	ation / body of ind Space below is ncy / permanent a
s not adequate, please attach multiple ddress / citizenship and ALL Tax Identification N Controlling Place & Date of Birt	space below incy / permanent a
Place &	% of
Code Country of [dd- mmm- (Refer Birth yyyy] Instruction 5)	(Refer Definition Instruction 4) interest
]	

1 / We have understood the information requirements of the application form, including FATCA and CRS requirements, terms and conditions (read along with instructions and scheme related documents) and hereby accept the same and further confirm that the information provided by me/us on this form are true, correct, and complete. I /We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after necessary consultation with tax professionals.

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal] Date: Page 1 of 2